

## Securities and Exchange Commission

## § 249b.102

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form MSDW, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### Subpart M—Forms for Reporting and Inquiry With Respect to Missing, Lost, Stolen, or Counterfeit Securities

#### § 249.1200 Form X-17F-1A—Report for missing, lost, stolen or counterfeit securities.

This form is to be filed with the Commission or its designee pursuant to paragraph (c) of § 240.17f-1 of this chapter by all reporting institutions subject to section 17(f)(1) of the Securities Exchange Act of 1934.

[44 FR 31504, May 31, 1979]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-17F-1A, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### PART 249a—FORMS, SECURITIES INVESTOR PROTECTION ACT OF 1970 [RESERVED]

### PART 249b—FURTHER FORMS, SECURITIES EXCHANGE ACT OF 1934

Sec.

249b.1-249b.99 [Reserved]

249b.100 Form TA-1, uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

249b.101 Form TA-W, notice of withdrawal from registration as transfer agent.

249b.102 Form TA-2, form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.

249b.200 Form CA-1, form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

249b.300 FORM NRSRO, application for registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 and § 240.17g-1 of this chapter.

AUTHORITY: 15 U.S.C. 78a *et seq.*, unless otherwise noted;

Sections 249b.100 and 249b.102 also issued under secs. 17, 17A and 23(a); 48 Stat. 897, as amended, 89 Stat. 137, 141 and 48 Stat. 901 (15 U.S.C. 78q, 78q-1, 78w(a)).

#### §§ 249b.1-249b.99 [Reserved]

#### § 249b.100 Form TA-1,<sup>1</sup> uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

This form shall be used for application for registration as a transfer agent and for amendment to registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

[40 FR 51184, Nov. 4, 1975, as amended at 51 FR 12127, Apr. 9, 1986]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

#### § 249b.101 Form TA-W, notice of withdrawal from registration as transfer agent.

This form shall be used for withdrawing, pursuant to section 17A of the Securities Exchange Act of 1934, the registration of transfer agents registered with the Commission.

(Secs. 2, 17, 17A and 23(a); (15 U.S.C. 78b, 78a, 78a-1 and 78w(a)))

[42 FR 44984, Sept. 8, 1977]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-W, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

#### § 249b.102 Form TA-2,<sup>1</sup> form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.

This form shall be used on an annual basis for registered transfer agents for reporting their business activities.

[51 FR 12134, Apr. 9, 1986]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

<sup>1</sup>Copies of the form may be obtained from the Publication Section, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549 and from each of the Commission's regional and district offices.

## § 249b.200

**§ 249b.200 Form CA-1, <sup>1</sup> form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.**

This form shall be used for application for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

[40 FR 52359, Nov. 10, 1975, as amended at 51 FR 12134, Apr. 9, 1986]

**§ 249b.300 FORM NRSRO, application for registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 and § 240.17g-1 of this chapter.**

This Form shall be used for an initial application for and an application to add a class of credit ratings to, a supplement to an initial application for and an application to add a class of credit ratings to, an update and amendment to an application for, and a withdrawal from a registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 (15 U.S.C. 78o-7) and § 240.17g-1 of this chapter.

[72 FR 33624, June 18, 2007]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form NRSRO, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## **PART 250—GENERAL RULES AND REGULATIONS, PUBLIC UTILITY HOLDING COMPANY ACT OF 1935**

### **REGISTRATION AND GENERAL EXEMPTIONS**

Sec.

250.1 Registration.

<sup>1</sup>Copies of the form may be obtained from the Publication Section, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549 and from each of the Commission's regional and district offices.

## **17 CFR Ch. II (4-1-08 Edition)**

250.2 Exemption of holding companies which are intrastate or predominantly operating companies.

250.3 Exemption of certain banks.

250.4 Exemption of certain brokers, dealers and underwriters.

250.5 Exemption of certain foreign holding companies.

250.6 Termination of exemptions.

250.7 Companies deemed not to be electric or gas utility companies.

250.8 Exemption of subsidiaries subject to jurisdiction of Interstate Commerce Commission.

250.10 Effect of certain exemptions.

250.11 Certain acquisitions by affiliates exempted from section 9(a)(2).

250.12 Exemption of certain public utility companies from the definition of subsidiary companies of holding companies.

250.14 Exemption of acquisitions of securities of power supply companies from section 9(a)(2) of the Act.

250.15 Exemption of holding company and subsidiary companies under section 3(a)(2) of the Act.

250.16 Exemption of non-utility subsidiaries and affiliates.

### **FORMS, PROCEDURE AND ACCOUNTS**

250.20 Prescribed forms and amendments.

250.21 Filing of documents.

250.22 Applications and declarations.

250.23 Procedure applicable to certain applications and declarations.

250.24 Terms and conditions applicable to declarations and orders granting applications.

250.25 Answers.

250.26 Financial statement and record-keeping requirements for registered holding companies and subsidiaries.

250.27 Classification of accounts prescribed for utility companies not already subject thereto.

250.28 Inconsistent financial statements.

250.29 Filing of reports to State Commissions.

### **REGULATION AND EXEMPTION OF VARIOUS FINANCIAL TRANSACTIONS**

250.40 Exemption of certain acquisitions from nonaffiliates.

250.41 Exemption of public utility subsidiaries with respect to limited acquisition of utility assets.

250.42 Acquisition, retirement and redemption of securities by the issuer thereof.

250.43 Sales to affiliates.

250.44 Sales of securities and assets.

250.45 Loans, extensions of credit, donations and capital contributions to associate companies.

250.46 Dividend declarations and payments on certain indebtedness.

250.47 Exemption of public utility subsidiaries as to certain securities issued to